



APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

| FOR AGENCY USE | | FOR RECORDS MANAGEMENT USE | |
|---|---|---|-------------------------------|
| Application Date January 16, 1978 | 1. Agency Address Georgia Department of Human Resources - Office of Regulatory Services - Laboratory Licensure and Development Section 618 Ponce de Leon Ave., N. E. Atlanta, Ga. 30306 | Application Number 78-3 | |
| Application Number DHR-1 | | Date Received JAN 19 1978 | Date Completed JAN 25 1978 |
| 2. Person to Contact Ms. Patisue Jackson, Supervisor, Laboratory Standards and Regulatory Services | | Working Title | Telephone Number 894-5841 |
| 3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. <u>73-224</u> Check One: <input type="checkbox"/> Change; <input checked="" type="checkbox"/> Supersede; <input type="checkbox"/> Void | | | |
| 4. Dates of Series Earliest 1973 | Latest to date | 5. Records Series Title (followed by title used in office, if different) STATE LABORATORY LICENSURE SURVEY FILES | |
| 6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Department of Human Resources, under the leadership of the Commissioner, is responsible for planning, organizing, directing, coordinating and controlling the delivery of services to the residents of Georgia. Included are: diagnosis and treatment of mental disorders; control of physical health programs; administration of public assistance programs; Federal Food programs; medical assistance programs; administration of the delivery systems for services to indigents, children and adolescents; administration of programs which enable the non-productive members of society (blind, physically and mentally handicapped) to function as productive members of society; administration of programs for the elderly; evaluation of programs of the Department and suggesting improvements in these programs; and support services. | | | |
| 7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: surveying medical laboratories to determine compliance with the Georgia Laboratory Licensure Law, 1970. Included are: Form No. DPH/DCS(4)-139 [new number-3539] (Application for Annual License/Approval of Clinical Laboratory Under the Georgia Laboratory Licensure Law, 1970) which shows name, address and phone number of facility; names and titles of owner, director, consultants, medical staff and other personnel; signature and title of authorized persons; type of laboratory (hospital-based, independent, official public health agency, premarital, syphilis serology); categories for which licensure is requested (microbiology, serology, clinical chemistry, clinical microscopy, immunohematology, hematology, pathology, radiobioassay, tissue bank). Report of survey shows specifically what was checked at the laboratory, such as: File is arranged: alphabetically by type of laboratory (hospital-based, independent, public health, premarital serology); thereunder, alphabetically by name | | | |
| 8. Monthly Reference Rate How often are records referred to which are: _____ /of laboratory. One to six months old <u>25-35</u> , Seven to twelve months old <u>10-15</u> , Thirteen to twenty-four months old <u>5-10</u> , twenty-five months and older <u>rarely?</u> | | | |
| 9. Annual Rate of Accumulation of Records Letter-size drawers <u>4</u> ; Legal-size drawers _____; Shelves _____; Other (specify) _____ | | | |

| YES | NO | 10. Questionnaire (Place an "X" in the proper column) |
|-----|----|--|
| X | | a. Is this the official copy of the series? If not, where is it? |
| | X | b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. |
| | X | c. Is this a vital record? |
| | X | d. Does this series have historical or long term research value? |
| | X | e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately? |
| | X | f. Is the information contained in this series ever published? If yes, attach copy. |
| | X | g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy. |
| | X | h. Is there a duplication of this series in your office, or in another office or agency? If yes, where? |
| | X | i. Is this series (or a major portion of it) regularly microfilmed? |
| | X | j. Does the record series result in a computer printout? |

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | * e. Administrative need | 5 _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

* Federal audit

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☒ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

- ☒ Hold in the current files area _____ month(s) 2 year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☒ Transfer to State Records Center; hold 3 year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

| Agency Head/Designee (Signature) | Date | Records Management Officer (Signature) | Date |
|--|---------|---|---------|
| <i>Patricia Jackson</i> | 1/12/78 | <i>Elizabeth W. Crank</i> Elizabeth W. Crank, C.R.M. | 1/12/78 |
| Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.) | | State Records Committee (Signature) | Date |
| | | State Auditor/Designee | 1-23-78 |
| | | Secretary of State/Designee | 1-25-78 |
| | | Attorney General/Designee | 1-23-78 |

Application for Records Retention Schedule
to amend
STATE LABORATORY LICENSURE SURVEY FILES

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Continuation

6. The Office of Regulatory Services has the responsibility to provide for the supervision and management of the Department's regulatory and quality control functions including medical care facilities, laboratory facilities, and child-caring and child-placing agencies and facilities; to insure objectivity in these activities; to facilitate communication and coordination; to enhance the Department's ability to develop policy on regulatory activities and move to a standardized approach for enforcement; to facilitate the development of interpretive guidelines and a consistent approach to interpretation of regulations; and to provide a mechanism to assist in the development of plans for future regulatory/quality assurance functions where needed.

The Laboratory Licensure and Development Section has the responsibility to promote and support the State-wide Laboratory Improvement Program for meeting the needs of the Laboratory Licensure Law through on-site visits to individual hospitals and independent laboratories, proficiency testing and continuing education to upgrade the quality of services.

7. ~~satellite~~ laboratories, collection stations, or other clinical laboratories in facility; what specimens are sent to reference laboratory (by name and referred to) personnel records to determine that requirements are met (qualified technical personnel, consultant service, trainees); records, reports, laboratory procedural manuals; sanitation and safety; equipment, supplies and reagents; hematology; urinalysis; chemistry; syphilis serology; diagnostic immunology; immunohematology; bacteriology; parasitology; mycobacteriology; mycology; anatomic pathology; signatures of survey officer, laboratory director; date of survey, date of follow-up, and fire inspection date. Also included in the file is correspondence relating to deficiencies found during the survey, the plan for correcting deficiencies, and verification that all deficiencies have been corrected.